

Project Management	MoE	62000	GEF	71400	Project Coordinator	9,090	9,091	18,181	14
TOTAL PROJECT MANAGEMENT						9,090	9,091	18,181	
TOTAL PROJECT						92,790	107,210	200,000	

Summary of Funds:³

	Amount Year 1	Amount Year 2	Total
GEF	92,790	107,210	200,000
TOTAL	92,790	107,210	200,000

³ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

Budget Notes:

1	<u>Annex 1 provides details and terms of reference for the consultant to be engaged for 40 days @ 700 USD/day (half costs in the first activity).</u>
2	<u>Annex 1 provides details and terms of reference for the consultants 3 consultants on data gathering and assessment in different sectors plus technical coordinator 5 days/month for 24 months (half costs in the first activity).</u>
3	<u>Travel for international expert/s and DSA for field work & missions in Albania for international experts and national experts</u>
4	<u>Project auditing related expenses</u>
5	<u>Miscellaneous (Includes bank fees, storage, insurance, and other expenses)</u>
6	<u>Annex 1 provides details and terms of reference for the consultant to be engaged for 40 days @ 700 USD/day (half costs in the second activity).</u>
7	<u>Annex 1 provides details and terms of reference for the consultants legal and economist plus technical coordinator 5 days/month for 24 months (half costs in the second activity)</u>
8	<u>Travel for international expert/s and DSA for field work & missions in Albania for international experts and national experts</u>
9	<u>Expenditures related to subcontracted services</u>
10	<u>Expenditures related to communication and audiovisual equipment for project needs</u>
11	<u>Pro-rated costs of project coordination (\$1,800 monthly)</u>
12	<u>Miscellaneous (Includes bank fees, storage, insurance, and other expenses)</u>
13	<u>Expenditures related to conferences, events, subcontracted services.</u>
14	<u>Pro-rated costs of project coordination (\$1,800 monthly)</u>

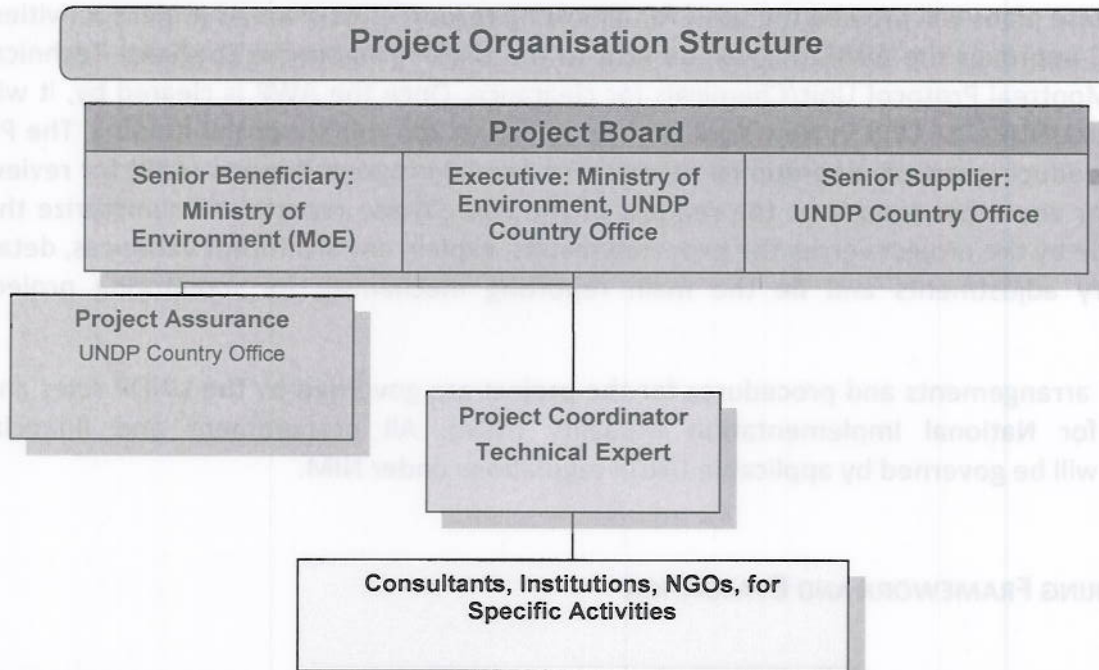
Position Titles	\$/ Person days	Estimated Person days	Tasks to be Performed
For EA Management			
Local (from management budget)			
Project coordinator	1,800 monthly		<p>Assist supervision and coordination of the project to ensure its results are in accordance with the Project Document;</p> <p>Assume primary responsibility for daily project operations both organizational and substantive matters budgeting, planning, reporting (including financial) and general monitoring of the project;</p> <p>Ensure adequate information flow, discussions and feedback among the various stakeholders of the project;</p> <p>Ensure adherence to the project's work plan, prepare revisions of the work plan, if required;</p> <p>Assume overall responsibility for the proper handling of logistics related to project workshops and events;</p> <p>Assist preparation, and agree with UNDP and ministry on, terms of reference for national and international consultants and subcontractors;</p> <p>Assist/coordinate the work of consultants and subcontractors and oversee compliance with the agreed work plan;</p> <p>Maintain regular contact with UNDP Country Office and the National</p>

		<p>Project Director on project implementation issues of their respective competence;</p> <p>Monitor the expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions;</p> <p>Assume overall responsibility for the meeting financial delivery targets set out in the agreed annual work plans, reporting on project funds and related record keeping;</p> <p>Assume overall responsibility for reporting on project progress vis-à-vis indicators in the logframe;</p> <p>Prepare GEF quarterly project progress reports, as well as other reports requested by the Ministry and UNDP;</p> <p>Undertake any other actions related to the project as requested by UNDP or the National Project Director.</p>
<p>For Technical Assistance (from technical components)</p>		
<p>Local</p>		
<p>Technical Coordinator</p>	<p>200</p>	<p>Review Assessments generated under regulatory analysis and inventory;</p> <p>Assessment of the impact of project outputs on specific stakeholders and general public;</p> <p>Development of documentations to support stakeholder consultations as well as public awareness activities.</p>
<p>Environmental Legal expert</p>	<p>200</p>	<p>Detailed review of regulatory framework and identification of gaps in management of mercury;</p>

			Development of specific recommendations on adjustments, amendments required in existing legislation; Liaise with Ministry of Environment, Minamata focal point and relevant government agencies for development of effective proposals for regulatory framework development.
National experts on data collection, organization and analysis	200	120	Identification of main target areas (sites) and sources for collection of data in accordance with the rapid assessment : i) coal-fired power plants; ii) cement production; iii) mining and other metallurgical activities; iv) mercury mining; v) small-scale gold and silver mining; vi) chloral-alkali production; vii) fluorescent lamps, manometers, thermometers; viii) manufacturing of products containing mercury; and ix) waste (including medical waste) incineration; Selection of methodology for the collection and analysis of data under each mercury source identified; Collection of data and analysis; Review of the rapid assessment of sources and validation (or expansion) of the list in accordance with collected data.
Environmental economist	200	20	Conduct the cost benefit analysis for the mainstreaming activity; Develop Socio-Economic Study on ASGM Coordinate the mainstreaming activities between involved institutions Develop the final report on Mainstreaming
International (from technical components)			
International technical expert	700	40	Provision of technical advisory support (with missions) to the local team on the Minamata convention as the new MEA instrument,

			<p>mercury sources, data organization, collection and validation process in each related sector/sub-sector;</p> <p>Support to the national level consultations on the data analysis, national mercury profile formulation and priority setting processes for decision-making;</p> <p>Provision of regulatory advisory support where needed with respect existing international benchmarks</p> <p>Provision of support to develop and analyze cost related to the implementation of the Convention and description of potential sources of funds, including existing bilateral sources</p>
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5. MANAGEMENT ARRANGEMENTS



The project will be implemented over a period of two years.

The UNDP Country Office (CO) will monitor the implementation of the project, review progress in the realization of the project outputs, and ensure the proper use of UNDP/GEF funds.

The project will be nationally implemented (NIM) by the Ministry of Environment (MoE) - and its subordinated public entities - in line with the Standard Basic Assistance Agreement (SBAA of 17 June, 1991).

The MoE will have the overall responsibility for achieving the project goal and objectives. The MoE will be directly responsible for creating the enabling conditions for implementation of all project activities. The MoE will designate a senior official to act as the Project Director (PD). The PD will provide the strategic oversight and guidance to project implementation.

The day-to-day administration of the project will be carried out by a national Project Coordinator (PC). The PC will be technically supported by contracted national and international service providers. Recruitment of specialist support services and procurement of any equipment and materials for the project will be done in accordance with relevant recruitment and procurement rules and procedures.

A Project Steering Committee (PSC) will be constituted to serve as the executive decision making body for the project.

The PC will produce an Annual Work Plan (AWP) to be approved by the PSC at the beginning of each year. These plans will provide the basis for allocating resources to planned project activities. Once the PSC approves the AWP, this will be sent to the UNDP Programme Specialist Technical Advisor for Montreal Protocol Unit/Chemicals for clearance. Once the AWP is cleared by, it will be sent to the UNDP/GEF Unit in New York for final approval and release of the funding. The PC will further produce quarterly operational reports and Annual Progress Reports (APR) for review by the PSC, or any other reports at the request of the PSC. These reports will summarize the progress made by the project versus the expected results, explain any significant variances, detail the necessary adjustments and be the main reporting mechanism for monitoring project activities.

The financial arrangements and procedures for the project are governed by the UNDP rules and regulations for National Implementation Modality (NIM). All procurement and financial transactions will be governed by applicable UNDP regulations under NIM.

6. MONITORING FRAMEWORK AND EVALUATION

The project will be monitored through the following Monitoring and Evaluation Activities (M&E) activities.

Project start:

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.

- c) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- d) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly:

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Bi-annual progress:

- Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

Periodic Monitoring:

Day to day monitoring of implementation progress will be the responsibility of the Project Coordinator, Director or CTA (depending on the established project structure) based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will

allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

End of Project:

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project’s results.

Audit clause:

Audit on project will follow UNDP Financial Regulations and Rules and applicable Audit policies.

Learning and knowledge sharing:

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ UNDP CO, UNDP GEF 	3,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Manager 	To be determined as part of the	Annually prior to ARR/PIR and to the definition of annual work plans

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
<i>implementation</i>	<ul style="list-style-type: none"> ▪ Project team 	Annual Work Plan's preparation.	
ARR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ local consultant 		At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Indicative cost : 3,000	Once throughout project lifespan
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives 	For GEF supported projects, paid from IA fees and operational budget	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 6,000 (+/- 5% of total budget)	

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

7. LEGAL CONTEXT

This document constitutes the 'Project Document' as referred to in the *Standard Basic Assistance Agreement* (SBAA dated 17 June, 1991). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner", as such term is defined and used in this document.

Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

8. ANNEXES

ANNEX 1 TERMS OF REFERENCE OF PROJECT INVOLVED STAFF AND EXPERTS

Project Coordinator

Background

The Project Coordinator will be locally recruited, based on an open competitive process. He/she will be responsible for the overall coordination of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. The Project Coordinator will report to the UNDP Environment and Energy Programme Officer. From the strategic point of view of the project, the Project Coordinator will report on a periodic basis to the Project Steering Committee (PSC). Generally he/she will be responsible for meeting government obligations under the project, under the national implementation modality (NIM). The incumbent will perform a liaison role with the Government, UNDP, implementing partners, NGOs and other stakeholders, and maintain close collaboration with any donor agencies supporting project activities.

Duties and Responsibilities

- Supervise and coordinate the project to ensure its results are in accordance with the Project Document;
- Assume primary responsibility for daily project coordination both organizational and substantive matters budgeting, planning and general monitoring of the project;
- Ensure adequate information flow, discussions and feedback among the various stakeholders of the project;
- Ensure adherence to the project's work plan, prepare revisions of the work plan, if required;
- Assume overall responsibility for the proper handling of logistics related to project workshops and events;
- Prepare, and agree with UNDP and ministry on, terms of reference for national and international consultants and subcontractors;
- Guide the work of consultants and subcontractors and oversee compliance with the agreed work plan;
- Maintain regular contact with UNDP Country Office and the National Project Director on project implementation issues of their respective competence;
- Monitor the expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions;
- Assume overall responsibility for the meeting financial delivery targets set out in the agreed annual work plans, reporting on project funds and related record keeping;
- Liaise with project partners to ensure their co-financing contributions are provided within the agreed terms;

- Assume overall responsibility for reporting on project progress vis-à-vis indicators in the logframe;
- Prepare GEF quarterly project progress reports, as well as any other reports requested by the Executing Agency and UNDP;
- Undertake any other actions related to the project as requested by UNDP or the National Project Director.

Position Titles	Tasks to be performed
Local Consultants	
Technical Coordinator	<ul style="list-style-type: none"> -Review Assessments generated under regulatory analysis and inventory; -Assessment of the impact of project outputs on specific stakeholders and general public; -Development of documentations to support stakeholder consultations as well as public awareness activities
Environmental Legal expert	<p><i>Detailed review of regulatory framework and identification of gaps in management of mercury;</i></p> <ul style="list-style-type: none"> - <i>Development of specific recommendations on adjustments, amendments required in existing legislation;</i> - <i>Liaise with Ministry of Environment, Minamata focal point and relevant government agencies for development of effective proposals for regulatory framework development.</i>
National experts on data collection, organization and analysis	<p>Identification of main target areas (sites) and sources for collection of data in accordance with the rapid assessment : i) coal-fired power plants; ii) cement production; iii) mining and other metallurgical activities; iv) mercury mining; v) small-scale gold and silver mining; vi) chloral-alkali production; vii) fluorescent lamps, manometers, thermometers; viii) manufacturing of products containing mercury; and ix) waste (including medical waste) incineration;</p> <ul style="list-style-type: none"> - Selection of methodology for the collection and analysis of data under each mercury source identified; - Collection of data and analysis; - Review of the rapid assessment of sources and validation (or expansion) of the list in accordance with collected data.
Environmental economist	<ul style="list-style-type: none"> -Conduct the cost benefit analysis for the mainstreaming activity; -Develop Socio-Economic Study on ASGM -Coordinate the mainstreaming activities between involved institutions

Position Titles	Tasks to be performed
	-Develop the final report on Mainstreaming
International Expert	<p>UNEP "Toolkit for identification and quantification of mercury releases"</p> <ul style="list-style-type: none"> - Provision of technical advisory support (with missions) to the local team on the Minamata convention as the new MEA instrument, mercury sources, data organization, collection and validation process in each related sector/sub-sector; - Support to the national level consultations on the data analysis, national mercury profile formulation and priority setting processes for decision-making; - Provision of regulatory advisory support where needed with respect existing international benchmarks - Provision of support to develop and analyze cost related to the implementation of the Convention and description of potential sources of funds, including existing bilateral sources

ANNEX 2 RISK ANALYSIS

IDENTIFIED RISKS AND CATEGORY	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
<p><u>Political</u> Change of the Government stand towards Convention ratification</p>	<p>Medium</p>	<p>Moderately likely</p>	<p>Low</p>	<p>The project outputs have been identified, and project activities developed, in close collaboration with the Ministry of Environment and other government institutions and stakeholders.</p> <p>The project will further support a Mercury Initial Assessment to enable the Government of Albania to determine the national requirements and needs for ratification of the Minamata Convention and establish a sound foundation to undertake future work towards the implementation of the Convention</p>
<p><u>Institutional</u> Difficulties in obtaining necessary data desegregated by sex.</p>	<p>Moderate</p>	<p>Low</p>	<p>Low</p>	<p>The project will work closely with different institutions and entities that collect data on different purposes and also cooperate with other initiatives that are supporting ministry of Environment on Environmental Monitoring and Information System. Also ministry of Environment will be supported to establish protocols of Information flow with different institutions serving to the project purpose.</p>

ANNEX 3 ALBANIA GEF OFF ENDORSEMENT LETTER



20 May 2015

To: **Mrs. Adriana Dinu**
 UNDP/GEF Executive Coordinator
 304 East 45th Street, NY 10017, USA
 New York, USA

Subject: **Endorsement for Albania "Strengthening decision making towards ratification of the Minamata Convention and build capacity for implementation/compliance with future provisions" project**

In my capacity as GEF Operational Focal Point for Albania, I confirm that the above project proposal is in accordance with my government's national priorities and our commitment to the relevant global environmental conventions; and was discussed with relevant stakeholders, including the global environmental convention focal points.

I am pleased to endorse the preparation of the above project proposal with the support of UNDP. If approved, the proposal will be prepared and implemented by Ministry of Environment. I request UNDP to provide a copy of the project document before it is submitted to the GEF Secretariat for CEO endorsement.

The total financing from GEFTF being requested for this project is US\$219,000 inclusive of project preparation grant (PPG), and Agency fees for project cycle management services associated with the total GEF grant. The financing requested for Albania is detailed in the table below.

Source of Funds	GEF Agency	Focal Area	Amount (in US\$)			
			Project Preparation	Project	Fee	Total
GEFTF	UNDP	Chemicals		200,000	19,000	219,000
Total GEF Resources				200,000	19,000	219,000

Copy to: Convention Focal Point for UNFCCC
 Convention Focal Point for POPs
 Convention Focal Point for Mercury
 Yesim Oruc, UNDP Country Director

Sincerely,

Peltumb Abeshi
 GEF Operational Focal Point

